

REQUEST FOR PROPOSALS

REGIONAL OPERATOR AND FISCAL AGENT REGION 7 REGIONAL WORKFORCE BOARD 2009 - 2011

Date Issued

February 2, 2009

Submission Deadline

March 6, 2009

Mandatory Notice of Intent to Bid

February 20, 2009

Contact

Scott Craig, Board Attorney
COX ZWERNER GAMBILL & SULLIVAN
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Terre Haute, IN 47808
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GENERAL INSTRUCTIONS

Purpose

The purpose of this solicitation is to secure Regional Operator and Fiscal Agent services for the Region 7 Regional Workforce Board (hereinafter referred to as the RWB). The successful bidder will enter into negotiations for a two year contract with an optional one year extension at the discretion of the RWB.

Scope of Work

The RWB is soliciting bids for a single entity to provide both Regional Operator and Fiscal Agent services for Region 7 which consists of the following Indiana counties: Clay, Parke, Putnam, Sullivan, Vermillion and Vigo.

The Regional Operator/Fiscal Agent will provide support services for the RWB and will provide operational oversight and management for the WorkOne offices in the region. Additional details on this structure are contained in Indiana's Strategic Two Year Plan for the Workforce Investment Act and Wagner-Peyser Act. This document may be viewed at the Department of Workforce Development's website.

Bidders **MUST** submit a proposal for both Regional Operator and Fiscal Agent services. Proposals to provide just the Regional Operator or just the Fiscal Agent Services, and not both, will be disqualified.

Eligibility

Any public or private non-profit or for-profit entity may submit a proposal. A Regional Operator shall not serve as a Service Provider, Regional Workforce Board member, or provider of direct client services in ANY OTHER region of the state at the same time and as such, is not eligible.

Funding

The funding for these services will primarily come from Federal Workforce Investment Act Title I funds awarded to the Region. Attachment A shows Program Year 2008 WIA funding levels for the current eleven regions of Indiana. While funding levels can fluctuate, Attachment A provides a reasonable guideline for expected funding levels.

Contract Negotiations

The successful respondent to this RFP will be expected to participate in contract negotiations to establish the exact services to be provided and the payment terms for those services. Costs and services will be negotiated based on information contained in this RFP and in the proposal selected for contract negotiations.

Contract Period

The period of the contact will be effective no later than July 1, 2009 through June 30, 2011. A one year extension may be granted by the RWB for exceptional performance. Contract activities may begin prior to July 1st if necessary for transition work.

Disclosure

Respondents to this RFP should be aware that the contents of their response to this RFP or other information submitted to the RWB is subject to public release upon request, except those items specifically exempt from disclosure. All such proprietary or confidential material should be so marked.

Subcontracts

Bidders may subcontract for all or part of the services to be provided, but the intention to subcontract must clearly be stated in the response to this RFP. Any subcontracting not specifically identified in the proposal or in the contract must have prior RWB approval.

Questions

All prospective bidders are prohibited from contacting any Region 7 Regional Workforce Board member regarding this solicitation to avoid conflicts of interest or the appearance of conflicts of interest. Any questions concerning this solicitation should be addressed only to the contact identified above. All questions must be in writing and be received by February 20, 2008. Answers to any questions will be emailed to all entities who have submitted a letter of intent. Bidders are encouraged to check email frequently to ensure they are fully aware of the most current information.

Bidder Interviews

Bidders may be asked to attend an interview session with the RWB to allow the RWB to gain further information about the proposal. If such interviews are conducted, bidders requested to attend will be contacted in order to schedule the interview.

Proposal Format

Proposals must be assembled and submitted in the following sequence:

- PROPOSAL COVER PAGE (Attachment B)
- TABLE OF CONTENTS
- ORGANIZATIONAL SECTION
 1. Organization Name
 2. Organization Address
 3. Organization Telephone Number(s)
 4. Organization website
 5. Contact Person
 6. Contact e-mail address

7. Length of time in operation
 8. Chief Executive Officer
 9. A Statement indicating the intent of the organization to provide services described in the RFP
 10. A Statement of Assurance the signer of this RFP is authorized to sign this proposal and can bind the organization in so doing
 11. Legal status of the Bidding Entity
 12. Mission or purpose of the organization
- **BACKGROUND AND EXPERIENCE**
 1. Description of the Purpose of the Organization
 2. Description of the Management and Structure of the Organization
 3. Listing of Similar Services provided – Names and Contacts
 4. Brief Resumes for Key Personnel that will provide the Services
 5. Copies of Monitoring Reports and Audit Reports for the past two years for similar services
 - **PLAN OF SERVICE**
 1. Detail the plan for providing Regional Operator AND Fiscal Agent Services
 2. Services provided On-site versus Off-site – Provide details
 3. Services provided not specifically mentioned in this RFP
 4. Fiscal Agent Staff availability – Full time versus Part time – Provide details
 - **BUDGET/COST**
 1. Budget Estimate Worksheet (Attachment E)
 2. Budget Narrative (Attachment E)
 - **NON-COLLUSION AFFIDAVIT (Attachment C)**
 - **ASSURANCES AND CERTIFICATIONS (Attachment D)**
 - **EXHIBITS**
 1. Bidder's Annual Report/Financial Statement
 2. Resumes of Key staff to be involved
 3. Organizational charts
 4. Recent Audits and Monitoring Reports from similar initiatives

Each Section and Exhibit must be clearly labeled. All pages requiring a signature are to be signed by a person authorized to commit the bidder to a future contract. All information in the proposal should be relevant to a specific requirement detailed in the RFP. Any information not meeting this guideline will be deemed extraneous and will in no way contribute to the evaluation process.

Responses to this RFP must be typed on 8 ½" by 11" paper with no less than one inch margins. The proposals must be no longer than 35 pages in length.

Starting after the Cover Page and the Table of Contents, number each page at the bottom center using the format "page x of x". Please also include the organization's name at the bottom of each page. The cover page, table of contents, required attachments, and exhibits do not count as part of the maximum 35 pages.

Deadlines

Proposals must be received by 5:00 p.m. on March 6, 2009, and are to be submitted to Scott Craig, Board Attorney, COX, ZWERNER, GAMBILL & SULLIVAN, 511 Wabash Ave., P.O. Box 9655, Terre Haute, Indiana 47808. One proposal with original signatures (in blue ink) is required with 4 paper copies. One electronic copy, in PDF format, must also be included with the submission. Please also include electronic copies of all attachments and exhibits submitted as part of the proposal.

No faxed copies will be accepted. Proposals received later than 5:00 p.m. will not be accepted.

In addition, all organizations who intend on submitting a proposal are **REQUIRED** to submit a written notice of intent to bid to Scott Craig, Board Attorney, COX, ZWERNER, GAMBILL & SULLIVAN, 511 Wabash Ave., P.O. Box 9655, Terre Haute, Indiana 47808. The notice is mandatory and must be received by the RWB no later than 5:00 p.m. Terre Haute time on February 20, 2009. The notice must include the name and contact information, including email address, of the organization. Proposals submitted by organizations that do not provide timely notice of their intention to bid will not be accepted.

REGIONAL OPERATOR DUTIES

The Regional Operator's responsibilities will include:

- Leading and managing the delivery of an integrated and "demand driven" client services system in accordance with federal and state legislation and regulations, state policy, and the Indiana Strategic State Plan. Programs include Workforce Investment Act Title 1 Adult, Dislocated Worker, Youth, Veterans; Wagner-Peyser Act, Veterans employment and training programs, and Trade Adjustment Assistance. Other programs may be incorporated.
- Directing and coordinating the flow and delivery of services in each WorkOne Center located in the region in accordance with the State's Regional Integration Policy. While the Regional Operator directs the flow and functionality of the WorkOne Center through its supervision, the Regional Operator is prohibited by Indiana law from providing WIA Title 1 core, intensive or training services or other direct workforce services.
- Creating a budget, cost allocation plan and procurement policy for the RWB's approval, including budgeting for the work of the RWB.
- Developing and executing a marketing plan for the WorkOne system.
- Providing technical assistance to the workforce service providers in the Regional Workforce system, including non-procured partners in the one-stop system.
- Supporting and expanding the RWB's and WorkOne's community partnerships and seek additional funding sources.
- Serving as support staff to the RWB.
- Developing RFPs for service providers and oversee the evaluation and selection process.
- Performing duties identified by the RWB in workforce development partnerships with the businesses, educators and industries and their coalitions.
- Receiving, along with the Regional Workforce Board, technical assistance/support from the Indiana Department of Workforce Development.
- Providing participant reporting and data validation functions, in conjunction with the RWB.

- Performing Fiscal Agent duties as described herein.
- Performing other related duties as indicated by Indiana Department of Workforce Development and the RWB.

FISCAL AGENT DUTIES

The Regional Workforce Board members are appointed by the local elected officials (LEOs) in the region. The elected officials also select a chief elected official (CEO) to represent them. As such the CEO through the fiscal agent is the grant recipient for the funding distributed to the Regional Workforce Board. As the grant recipient, the CEO will designate a Fiscal Agent to receive, disburse, and account for funds.

As part of this RPF, the RWB is requesting proposals for an entity or organization to serve as the Regional Operator/Fiscal agent for the region for Workforce Investment Act Title I (Adults, Dislocated Worker and Youth) as well as other funds awarded to the region including, but not limited to, State and Federal competitive and formula awards, grants and awards for workforce and economic development initiatives. The Regional Operator may perform these functions through subcontract with another entity. The Fiscal Agent or entity for which they are employed may not provide workforce development services provided through WorkOne system in the region where the entity is the Fiscal Agent.

The Fiscal Agent's responsibilities will include:

- Administration of grant funds for the region.
- Handling of receipts and disbursements for the region.
- Maintaining appropriate records of all financial transactions.
- Providing financial reports for the RWB and region as requested and/or required.
- Otherwise providing all necessary or required financial services for the RWB and the region.
- Following and ensuring compliance with all applicable Federal and State legislation and regulations, applicable Office of Management and Budget (OMB) Circulars, and State/Regional policies and directives and, when deemed

appropriate, confer with the State on issues concerning allowable costs and acceptable processes and procedures

- Utilizing acceptable accounting software that allows for accrual reporting of all costs within the time lines established and the allocation of overhead/indirect costs in accordance with acceptable CAP.
- Compliance with the all cash management directives to include monthly bank reconciliations, and maintaining minimum cash on hand.
- Establishing and maintaining a procedure to record and report all stand-in costs, when applicable, all match cost of cash/in-kind as directed, and any required maintenance of effort.

SELECTION PROCESS AND RATING CRITERIA

Selection Process

Selection and review of proposals will be conducted in a manner providing for full and open competition. Award will only be made to individuals or organizations possessing the qualifications and demonstrated ability to perform successfully under the terms and conditions of a contract that is in line with the scope of services listed in this RFP.

The RWB may, at its sole discretion, waive minor errors or omissions in a proposal when those errors do not unreasonably obscure the meaning of the content. The RWB reserves the right to request clarification from bidders of any information in their proposals and may request such clarification as it deems necessary at any point in the proposal evaluation process.

The RWB further reserves the right to reject any and all proposals it receives. It is understood that submitted proposals will become part of the RWB files without further obligation and that the RWB will provide no payment or reimbursement for the development or preparation of proposals.

The selection process will consist of:

- a. An initial review for responsiveness and compliance with technical specifications and other criteria specified herein.
- b. Evaluation and scoring of responsive proposals.
- c. Oral discussions, on-site interviews and/or requests for additional information with top scoring bidders (if deemed appropriate).
- d. Selection of a proposed contractor by the RWB for contract negotiations.

Rating Criteria

All applicants' proposals will be evaluated on six criteria, each carrying a unique weighting totaling 100 points as follows:

Description	Points Possible
Service Provision Planning	10
Integration/Coordination Planning	10
Financial Service Provision Planning	10
Program Management & Organizational Capacity	25
Outcomes/Results Delivered	25
Costs	20

Service Provision Planning (10 Points)

The Regional Operator is an instrumental component for the management of workforce services in the Regional WorkOne system, provides staff functions as described by the Regional Workforce Board and performs fiscal agent duties for this board. The current WIA service provider for the region is Ivy Tech Community College Wabash Valley. Ivy Tech's contract extends until June 30, 2010, with an option to extend the contract for one additional year.

- The integration of services and workflow for the WorkOne system are integral part of Indiana's workforce system. Describe a plan and goals to continue the integration of services for seamless service delivery. Include how functional supervision, staff training, employer input, customer satisfaction surveys, etc. will be used to fulfill this plan and goals. Include a plan describing the design of the flow of traffic, staff training, coordination of partner services, general room layout in a WorkOne site, and a timeline for implementation.
- Describe the plan for providing staff and support functions to the Regional Workforce Board, including a description of the types of services you expect to perform in this role.
- Describe the fiscal services to be provided insuring compliance with all federal and state requirements and complying with generally accepted accounting principles.
- WIA Service Providers are procured by the Regional Operator. Describe the plan for how the procurement process for service providers will occur. Include how it will be determined who will receive notice of requests for proposals.
- Describe the proposed scope of work for WIA service providers and describe the criteria, processes and timeline to be used for the selection of service providers.

Scoring on this criterion is based on the following:

- How service integration is addressed.
- How the flow of services is designed.
- The comprehensiveness and quality of Regional Workforce Board functions to be provided.
- The comprehensiveness and quality of the fiscal services to be provided.
- The quality of the procurement process and plans for service providers.

Integration/Coordination Planning (10 points)

The Regional Operator directs and coordinates the delivery of workforce services in the WorkOne Centers and Express sites located in the region. With guidance from the State and RWB, the Regional Operator integrates Wagner-Peyser, Workforce Investment Act,

Veterans, and Trade Adjustment Services in the WorkOne Center and Express Offices. Additionally, the Regional Operator also coordinates with the Partner Services available in the regional offices to ensure customers have access to the full array of services available.

- Describe the Regional Operator's vision for integration and coordination in the area.
- Describe how the Regional Operator envisions its roles with the RWB, including how coordination will occur and alignment with the RWB's strategic vision.
- Describe how the Regional Operator will assist the Regional Workforce Board to assume a stronger leadership role over the next two program years. Include the relationship between the Regional Operator, Regional Workforce Board, and the State, and how capacity building for the Regional Workforce Board will be provided.
- Describe the Regional Operator's role with the DWD Regional Coordinator, including how coordination will occur.
- If applicable, describe how you will manage transition from the previous Regional Operator.

Scoring of this criterion will be based on the following:

- How the applicant understands the integration of services.
- How coordinating with the Regional Workforce Board will occur, including support of employer and industry coalitions. And how the leadership role of the Regional Workforce Board will be enhanced during the next two program years.
- How coordination with the DWD Regional Coordinator will occur.

Financial Service Provision Planning (10 Points)

The Regional Operator/Fiscal Agent will be an instrumental component within the Regional WorkOne system. Through this procurement process, the Regional Workforce Board anticipates identifying a Regional Operator/Fiscal Agent to provide financial services.

- Describe the process for recruitment, employment and retention of qualified staff, including experience under varying training funded programs such as WIA for the region or contracting for such services. Describe the plan for providing the services including personnel to be used and/or qualifications of people that will be used.
- Describe methods for assisting the CEO/Board to aggressively pursue repayment from the originating entity/organization for disallowed costs.
- Describe the plan for coordinating with the DWD and the RWB concerning the payments for delivery of workforce development services in the regions. Include

how such coordination will occur to assure proper documentation accompanies each claim for payment. What method will be used to resolve concerns over payment for costs questioned by the Fiscal Agent?

- Describe the way to serve as fiscal agent for other funding that may become available to the RWB such as other state grants, federal grants, foundation grants and other grants and awards. Such description must contain a fee structure.

Scoring on this criterion will be based on the following:

- How the respondent will staff to provide the financial services.
- How the respondent will assist the State to pursue questioned costs which result in a demand of repayment for disallowed costs.
- How the applicant will coordinate with the Regional Workforce Boards and DWD on fiscal issues.
- Fiscal experience in working with training funded programs
- How the applicant will handle other funds including the fee structure.
- The costs for the fiscal agent functions.

Program Management & Organizational Capacity (25 points)

Applicants must demonstrate the capacity and capability to be a Regional Operator. The Regional Operator will be responsible for performance, quality control, results and outcomes in the region. The RWB is interested in learning the organization's capacity to administer workforce development programs and program management capability.

- Describe the entity's ability, organizational capacity, and track record to administer workforce development services in each WorkOne Center and WorkOne Express sites located in the region. Identify a Regional Operator Director with whom the State and Regional Workforce Board will communicate. Provide the qualifications of the Director and other key staff members.
- Describe the entity's ability, organizational capacity, and track record to administer workforce development initiatives in working with employer and industry coalition initiatives.
- Describe credentials and certifications for personnel related to the delivery of workforce or related services.
- Describe the entity's ability to enter participant and financial data into an automated reporting system. Describe how data validation will occur.
- Describe how the workforce development system will be managed to meet performance, expenditure levels and enrollments.
- Provide a copy of the most recent audit report done for the Regional Operator's organization/entity indicating its ability to administer workforce development services.

- Describe how the Regional Operator will be the primary source for workforce planning data for all of Region 7.
- Describe the Regional Operator's experience with accounting and reporting systems specifically with the Department of Workforce Development (DWD), other state/federal agencies, and/or private sector entities.)
- Describe credentials and certifications for personnel that will provide fiscal services.

Scoring of this criterion will be based on the following:

- The applicant's ability and capacity to administer workforce development services as the Regional Operator, including key staff qualifications.
- The applicant's experience and ability to enter participant and financial data into the automated reporting system.
- The most recent audit report reflecting the applicant's ability to administer workforce development services.
- The experience in providing financial services for similar programs.
- Appropriate staff/organizational credentials and experience.

Outcomes (25 Points)

The organization's success in administering workforce development programs can, many times, be reflected through the outcomes achieved in prior endeavors. The RWB is interested in learning about the achievements of the organization/entity. Such achievements may have been measured through contract payment points, achieving bench marks, achieving or exceeding performance standards, and/or other methods.

- Provide examples of outcomes achieved by the applicant. Workforce Investment Act outcomes are preferred but outcomes from other funding sources are acceptable.
- Describe corrective actions taken (either internal ones or ones required by a contracting entity) as a result of not achieving outcomes.
- Provide examples of the organization's ability to meet and exceed goals and expectations.
- Provide the workforce development program outcomes achieved by the applicant. If the applicant has administered Workforce Investment Act (WIA) funding, please provide outcomes specific to WIA.
- Describe examples of successes in fundraising (i.e. grants received) and how those additional funds were utilized to achieve outcomes. Describe any plans or fundraising goals for Region 7.
- Successful audit reports and monitoring reports of training funded programs to include any direct federal review(s) by U.S. Department of Labor /Employment

and Training Administration and or the Office of Inspector General. Please attach most recent (please attach as exhibits to proposals).

- Describe any additional outcomes that will raise the bar as a regional operator\fiscal agent to which you will be held accountable. Include a plan as to how you intend to accomplish these goals.
- Describe any innovations or ideas for how the RWB can proactively increase jobs, employment, and personal income within the region.

Scoring of this criterion will be based on the following:

- The applicant's ability to meet and exceed planned outcomes.
- The applicant's ability to and experiences in taking corrective actions to achieve outcomes.
- The most recent audit and/or monitoring reports reflecting the applicant's ability to administer workforce development services.
- The quality and creativity of the goals and ideas of the applicant for achieving success within the region.

Cost (20 Points)

Specify the annual cost for the regional operator and fiscal agent services using the cost worksheet included in this document.

Scoring on this criterion will be based on the following:

- Cost for Regional Operator/Fiscal Agent functions.
- Reasonableness of budget, consistent with the scope of work proposed and the thoroughness and logic of the budget narrative

ATTACHMENT A

Program Year 2008 Funding by Workforce Region

	Adult	Youth	DW	Total
State Allotments	\$18,165,758	\$20,463,638	\$23,517,230	\$62,146,626
Administration	\$908,287	\$1,023,181	\$1,175,860	\$3,107,328
Gov. Discretionary	\$1,816,576	\$2,046,364	\$2,351,723	\$6,214,663
Rapid Response			\$5,879,307	\$5,879,307
Amount to be allocated to Work- Force Boards	\$15,440,895	\$17,394,093	\$14,110,340	\$46,945,328
Workforce Boards				
Marion County	\$2,872,213	\$3,083,012	\$2,038,254	\$7,993,479
Balance of State	\$12,568,682	\$14,311,081	\$12,072,086	\$38,951,849
Total	\$15,440,895	\$17,394,093	\$14,110,340	\$46,945,328
Balance of State				
Region 1	\$2,468,945	\$2,584,083	\$1,651,711	\$6,704,739
Region 2	\$1,338,346	\$1,571,635	\$1,351,142	\$4,261,123
Region 3	\$2,134,813	\$2,420,776	\$2,213,085	\$6,768,674
Region 4	\$1,050,255	\$1,436,297	\$1,195,442	\$3,681,994
Region 5	\$993,651	\$992,274	\$1,783,941	\$3,769,866
Region 6	\$1,194,953	\$1,422,536	\$1,012,026	\$3,629,515
Region 7	\$743,034	\$841,873	\$417,315	\$2,002,222
Region 8	\$682,114	\$931,427	\$508,554	\$2,122,095
Region 9	\$503,386	\$486,088	\$772,037	\$1,762
Region 10	\$593,715	\$582,105	\$517,512	\$1,693,332
Region 11	\$865,470	\$1,041,987	\$649,321	\$2,556,778
Balance of State Total	\$12,568,682	\$14,311,081	\$12,072,086	\$38,951,849

ATTACHMENT B

Proposal Cover Page

**Region 7 Regional Workforce Board, Inc.
Proposal for Regional Operator/Fiscal Agent
2009 - 2011**

Date of Proposal _____

Organization Name:

Organization Address:

Federal ID Number:

Authorizing Organization Official

Typed Name:

Signature: _____

Signature Date: ____/____/____.

Contact Person

Name:

Address:

Telephone Number:

Cell Number:

E-mail:

ATTACHMENT C

Non-Collusion Affidavit

State of Indiana

County of _____

The respondent is hereby giving oath that it has not, in any way, directly or indirectly, entered into any arrangement or agreement with any other respondent or with any officer or employee of the Region 7 Workforce Board whereby it has paid or will pay to such other respondent or officer or employee any sum of money or anything of real value whatever; and has not, directly or indirectly, entered into any arrangement or agreement with any other respondent or respondents which tends to or does lessen or destroy free competition in the letting of the agreement sought for by the attached response; that no inducement of any form or character other than that which appears on the face of the response will be suggested, offered, paid, or delivered to any person whomsoever to influence the acceptance of the said response or awarding of the agreement, nor has this respondent any agreement or understanding of any kind whatsoever, with any person whomsoever, to pay, deliver to, or share with any other person in any way or manner any of the proceeds of the agreement sought by this response.

Signature of Authorized Representative

Print or Type Name

Subscribed and sworn to me this day ____ day of _____

Notary Public

County of _____

Commission Expiration Date _____

ATTACHMENT D

Assurances and Certifications

The authorized representative agrees to comply with all applicable State and Federal laws and regulations governing the Workforce Investment Act, Workforce Investment Boards, Regional Workforce Boards and any other applicable laws and regulations.

In addition to the assurances provided below, the authorized representative further assures, certifies and understands that:

1. The proposing organization possesses legal authority to offer the attached proposal.
2. A resolution, motion, or similar action has been duly adopted or passed as an official act of the organization's governing body authorizing the submission of this proposal.

Workforce Investment Act (WIA) recipients are obligated to maintain the following assurance for the period during which WIA Title I financial assistance is extended as stated in 29 CFR 37.21. Each request for proposal, proposal and application for financial assistance under WIA Title I shall contain the following assurances as required by 29 CFR 37.20.

"As a condition to the award of financial assistance from the Department of Labor under Title I of WIA, the recipient assures that it will comply fully with the nondiscrimination and equal opportunity provisions of the following laws:

Section 188 of the WIA, which prohibits discrimination against all individuals in the United States on the basis of race, color, religion, sex, national origin, age, disability, political affiliation or belief, and against beneficiaries on the basis of either citizenship/status as a lawfully admitted immigrant authorized to work in the United States or participation in any WIA Title I-financially assisted program or activity; Title VI and VII of the Civil Rights Act of 1964, as amended, which prohibits discrimination on the basis of race, color or national origin; Section 504 of the Rehabilitation Act of 1973, as amended, which prohibits discrimination against individuals with disabilities; the Age Discrimination Act of 1975, as amended, which prohibits discrimination on the basis of age; and Title IX of the Education Amendments of 1972, as amended, which prohibits discrimination on the basis of sex in educational programs."

The recipient also assures that it will comply with 29 CFR Part 37 and all other regulations implementing the laws listed above. This assurance applies to the recipients operation of the WIA Title I-financially assisted program or activity, and to all agreements the recipient makes to carry out the WIA Title I-financially assisted program or activity. The recipient understands that the United States has the right to seek judicial enforcement of this assurance.

Debarment, Suspension, and Other Responsibility Matters: This certification is required by the Federal Regulations, implementing Executive Order 12549, Government-wide Debarment and Suspension, for the Department of Agriculture (7 CFR Part 3017), Department of Labor (29 CFR Part 98), Department of Education (34 CFR Parts 85), Department of Health and Human Services (45 CFR Part 76).

The undersigned applicant certifies that neither it nor its principals:

- (1) Are presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded from participation in this transaction by any federal department or agency;
- (2) Have not within a three-year period preceding this application been convicted of or had a civil judgment rendered against them for commission of fraud or a criminal offense in connection with obtaining, attempting to obtain, or performing a public (Federal, State or Local) transaction or contract under a public transaction, violation of Federal or State antitrust statutes or commission of embezzlement, theft, forgery, bribery, falsification or destruction of records, making false statements, or receiving stolen property;

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- (3) Are not presently indicted for or otherwise criminally or civilly charged by a governmental entity with commission of any of the offenses enumerated in Paragraph (2) of this section; and
- (4) Have not within a three-year period preceding this application had one or more public transactions terminated for cause or default.

Nondiscrimination: The undersigned applicant certifies that it shall comply with the nondiscrimination provisions outlined in the WIA of 1998 including Title I, Sec. 184 (f) and Sec. 188 (a); 20 CFR 667.266 (a) and 45 CFR 80 and 84.

Conflict of Interest: The undersigned applicant certifies that:

- (1) No manager, employee or paid consultant of the Proposer is a member of the Board of Directors, or an employee of the Board;
- (2) No manager or paid consultant of the Proposer is married to a member of the Board of Directors, or an employee of the Board;
- (3) No member of the Board of Directors, or an employee of the Board owns or has any control in the Proposer's organization;
- (4) No spouse of a member of the Board of Directors, or employee of the Board receives compensation from Proposer for lobbying activities;
- (5) Proposer has disclosed within the proposal response any interest, fact or circumstance which does or may present a potential conflict of interest;
- (6) Should Proposer fail to abide by the foregoing covenants and affirmations regarding conflict of interest, Proposer shall not be entitled to the recovery of any costs or expenses incurred in relations to any contract with the Board and shall immediately refund the Board any fees or expenses that may have been paid under the contract and shall further be liable for any other costs incurred or damages sustained by the Board relating to that contract.

Lobbying: This certification is required by the Federal Regulations, Implementing Section 1352 of the Program Fraud and Civil Remedies Act, Title 31 U.S. Code for the Department of Agriculture (7 CFR Part 3018), Department of Labor (29 CFR Part 93), Department of Education (34 CFR Part 82), Department of Health and Human Services (45 CFR Part 93).

The undersigned applicant certifies that:

- (1) No Federal appropriated funds have been paid or will be paid, by or on behalf of the undersigned, to any person for influencing or attempting to influence any officer or employee of Congress, or an employee of a Member of Congress, or locally elected officials.
- (2) In connection with the awarding of any Federal grant, the making of any Federal loan, the entering into of any cooperative agreement, and the extension, continuation, renewal, amendment, or modification of any Federal contract, grant, loan or cooperative agreement.
- (3) If any funds, other than Federal appropriated funds, have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, any officer or employee of Congress, an employee of a Member of Congress, or locally elected officials in connection with this Federal contract, grant, loan or cooperative agreement, the undersigned shall complete and submit "Disclosure Form to Report Lobbying", in accordance with its instructions.

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- (4) The undersigned shall require that the language of this certification be included in the award for all sub-awards at all tiers (including subcontracts, sub-grants, and contracts under grants, loans and cooperative agreements) and that all sub-recipients shall certify and provide disclosure accordingly.

Drug-Free Workplace: This certification is required by the Federal Regulations, Implementing Section 5150-5160 of the Drug-Free Workplace Act, 41 U.S.C. 701; for the Department of Agriculture (7 CFR Part 3017), Department of Labor (29 CFR Part 98), Department of Education (34 CFR Part 85, 668 and 682), Department of Health and Human Services (45 CFR Part 76).

The undersigned applicant certifies that it shall provide a drug-free workplace by:

- (a) Publishing a policy statement notifying employees that the unlawful manufacture, distribution, dispensing, possession or use of a controlled substance is prohibited in the workplace and specifying the consequence of any such action by an employee;
- (b) Establishing an ongoing drug-free awareness program to inform employees of the dangers of drug abuse in the workplace, the Contractor's policy of maintaining a drug-free workplace, the availability of counseling, rehabilitation and employee assistance programs, and the penalties that may be imposed on employees for drug abuse violations in the workplace;
- (c) Providing each employee with a copy of the Contractor's policy statement;
- (d) Notifying the employees in the Contractor's policy statement that as a condition of employment under this contract, employees shall abide by the terms of the policy statement and notifying the Contractor in writing within five (5) days after any conviction for a violation by the employee of a criminal drug statute in the workplace;
- (e) Notifying the Commission within ten (10) days of Contractor's receipt of a notice of a conviction of an employee; and,
- (f) Taking appropriate personnel action against an employee of violating a criminal drug statute or require such employee to participate in drug abuse assistance or a rehabilitation program.

These certifications are material representations of fact upon which reliance was placed when this transaction was made or entered into. Submission of this certification is a prerequisite for making or entering into this transaction.

WIA Sec. 184 (f): Discrimination Against Participants: -- If the Secretary determines that any recipient under WIA Title I has discharged or in any other manner discriminated against a participant or against any individual in connection with the administration of the program involved, or against any individual because such individual has filed any complaint or instituted or caused to be instituted any proceeding under or related to WIA Title I, or has testified or is about to testify in any such proceeding or investigation under or related to WIA Title I, or otherwise unlawfully denied to any individual a benefit to which that individual is entitled under the provision of WIA Title I or the Secretary's regulations, the Secretary shall, within 30 days, take such action or order such corrective measures, as necessary, with respect to the recipient or the aggrieved individual, or both.

WIA Sec. 188 (a):

- (1) **Federal financial assistance.** – For the purpose of applying the prohibitions against discrimination on the basis of age under the Age Discrimination Act of 1975 (42 U.S.C. 6101 et seq.), on the basis of disability under section 504 of the Rehabilitation Act of 1973 (29 U.S.C. 794), on the basis of sex under Title IX of the Education Amendments of 1972 (20 U.S.C. 1681 et seq.), or on the basis of race, color, or national origin under Title VI of the Civil Rights Act of 1964 (42 U.S.C. 2000D et seq.), programs and activities funded or otherwise financially assisted in whole or in part under this Act are considered to be programs and activities receiving Federal financial assistance.

- (2) **Prohibition of discrimination regarding participation, benefits, and employment.** – No individual shall be excluded from participation in, denied the benefits of, subject to discrimination under, or denied employment in the administration of or in connection with, any such program or activity because of race, color, religion, sex (except as otherwise permitted under Title IX of the Education Amendments of 1972), national origin, age, disability, or political affiliation or belief.
- (3) **Prohibition on assistance for facilities for sectarian instruction or religious worship.** – Participants shall not be employed under WIA Title I to carry out the construction, operation, or maintenance of any part of any facility that is used or to be used for sectarian instruction or as a place for religious worship (except with respect to the maintenance of a facility that is not primarily or inherently devoted to sectarian instruction or religious worship, in a case in which the organization operating the facility is part of a program or activity providing service to participants).
- (4) **Prohibition on discrimination of basis of participant status.** – No person may discriminate against an individual who is a participant in a program or activity that receives funds under WIA Title I, with respect to the terms and conditions affecting, or rights provided to, the individual, solely because of the status of the individual as a participant.
- (5) **Prohibition on discrimination against certain non-citizens.** – Participation in programs and activities or receiving funds under WIA Title I shall be available to citizens and nationals of the United States, lawfully admitted permanent resident aliens, refugees, asylees, and parolees, and other immigrants authorized by the Attorney General to work in the United States.

20 CFR §667.266 (a): WIA Title I funds may not be spent on the employment or training of participants in sectarian activities.

Further, the undersigned applicant certifies that it shall comply with the provisions outlined by the U.S. Department of Health and Human Services (45 CFR 8 0 and 84).

With regard to Section 504 of the Rehabilitation Act of 1973 (29 U.S.C. 794), the provider agrees to comply with the implementing regulations that require that each program of training services, when funded in all or in part with federal funds, shall be accessible to qualified individuals with disabilities. The provider further agrees to meet all applicable requirements regarding facility access.

By signing, the applicant certifies that it will comply with all other regulations implementing the laws cited above. This assurance applies to the applicant's operation of the WIA Title I – financially assisted program or activity, and to all agreements, the applicant makes to carry out the WIA Title I-financially assisted program or activity. The applicant understands that the United States, Indiana Department of Workforce Development, and the Board have the right to seek judicial enforcement of this assurance. NOTE: WIA non-discrimination regulations are published at 29 CFR 37.

Documentation of Financial Stability: The undersigned applicant certifies that it shall comply with the Indiana Department of Workforce Development with regard to providing documentation of financial stability. As part of their local application requirements, the Board is to specify its local protocol for documentation and submission requirements.

Reporting Requirements: The undersigned applicant certifies that it shall comply with the provisions of Sec. 122 of the Workforce Investment Act of 1998 and the reporting and procedural requirements issued by the Indiana Department of Workforce Development.

Where the prospective recipient of federal assistance funds is unable to certify to any of the statements in this certification, such prospective recipient shall attach an explanation to this certification.

The undersigned Authorized Representative of the applicant herein certifies that the statements above pertaining to Debarment, Suspension and Other Responsibility Matters; Nondiscrimination; Conflict of Interest; Education

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Standards and Procedures; Documentation of Financial Stability and Reporting Requirements are true and correct as of the date of submission. This does not preclude the Board from requiring additional assurances as part of the local application requirements.

Further, the Authorized Representative acknowledges that if the information given to the Board by the applicant causes harm to a third party, then applicant will be held liable for any Board action resulting from reliance on that information.

The applicant must notify the Board in writing if the authorized signatory changes.

Signature of Authorized Representative

Print or Type Name

Date

ATTACHMENT E

Budget Estimate Worksheet

Line Item	Regional Operator	Fiscal Agent	TOTAL
Salaries			
Benefits and Taxes			
Staff Development & Travel			
Operating Expenses			
Rent			
Utilities			
Maintenance			
Equipment			
Supplies			
Insurance			
Professional Services			
Contracts			
Other			
TOTAL			

Budget Narrative

Please use this section of the proposal to provide additional details, descriptions and information concerning the Budget Estimate, being sure to include explanations of what types of expenses were included in each category.